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99TH CONGRESS
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HOUSE OF REPRESENTATIVES

REPORT
99-640

ORIGINAL

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EFFECTIVE SCHOOLS AND EVEN START ACT

JUNE 16, 1986.—Committed to the Committee of the Whole House on the State of the Union and ordered to be printed

Mr. HAWKINS, from the Committee on Education and Labor, submitted the following

REPORT

[To accompany H.R. 4463]

[Including cost estimate of the Congressional Budget Office]

The Committee on Education and Labor, to whom was referred the bill (H.R. 4463) to establish programs to promote effective schools and to encourage joint parent-child educational approaches, and for other purposes, having considered the same, report favorably thereon with an amendment and recommend that the bill as amended do pass.

The amendment strikes out all after the enacting clause and inserts a new test which appears in italic type in the reported bill.

SUMMARY

H.R. 4463, the Effective Schools and Even Start Act, establishes a two-pronged approach for improving our children's education. At no additional cost to the Federal Government, the legislation encourages adoption of two concepts that research has shown to be effective: "effective schools" programs to foster a better educational environment in the school, and "even start" programs to promote learning in the home.

A body of research has validated that some schools, including those in poor areas and with disadvantaged students, have been highly successful in improving student achievement. This "effective schools" research has also found that certain characteristics—strong leadership, emphasis on basic and higher order skills, a safe and orderly environment, a climate of expectations that all students can learn, and continuous assessment of students—are shared by these schools and can be replicated in other schools.

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The effective schools program in the bill is based on this research. The bill targets one-half of the State portion of each State's grant under the Chapter 2 education block grant (10% of the total State grant) to be used by States for effective schools programs. Specifically, each State must use this reserved portion for planning, implementing, supporting, and otherwise encouraging effective schools programs that include the aforementioned characteristics, within that State.

The even start program attempts to combat the problem of intergenerational illiteracy. Specifically, this program would make grants available from the Department of Education to implement pilot programs that combine basic education for illiterate adults and school readiness training for their children into a single program. These grants would build upon our knowledge of the positive effects of parental involvement upon student learning. Parents who are themselves illiterate or lacking a high school diploma would receive adult basic education as well as training in how to help their young children. The even start program would be funded by reserving $2 million from the top of the Chapter 2 appropriation and $1 million from the Adult Education Act for this purpose.

NEED FOR THE LEGISLATION

Effective schools

A traditional American belief operates on the assumption that good schools can and do enhance student learning through the actions that schools take.

But this traditional American view of education was severely shaken by the conclusions of Dr. James Coleman's landmark research and study on *Equality of Education Opportunity*, which had been mandated by the Congress in the Civil Rights Act of 1964.

Although some twenty years later Dr. Coleman refuted these conclusions, in the mid-sixties Coleman's report to the Congress stated:

> But this fact alone is important: Differences in school facilities and curriculum, which are the major variables by which attempts are made to improve schools, are so little related to differences in achievement levels of students, that, with few exceptions, their effects fail to appear even in a study of this magnitude.
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> * * * * *
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> Taking all results together, one implication stands out above all: That schools bring little influence to bear on a child's achievement that is independent of his background and general social context.

The impact of the Coleman study on the Nation was devastating: confidence in the public schools decreased; lowered expectations for certain students became a focal point of enormous debate; and questions were raised concerning the Federal role in education in light of Coleman's findings.

Many educators challenged Coleman's thesis. They knew that there were effective schools in the nation, where students, especial-

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ly from very deprived circumstances, were achieving far above levels of academic expectancy.

But what was lacking was hard research data to support their views, and data that would challenge Coleman.

So the search for effective schools began. And gradually a body of research took form which articulated the differences between effective schools and non-effective schools. In his *Effective Schools Research: A Guide to School Improvement*, Glen E. Robinson, commenting on the search for effective schools, noted that: "The researchers found that when schools were matched on student background and socio-economic characteristics, differences in student achievement levels of schools corresponded with differences in school management, instructional processes, and learning climate."

Out of this research developed the effective schools moverment.

The effective schools movement is based on effective schools research and models of school effectiveness, and acts on this research that shows that instructionally effective schools have five characteristics that differentiate effective schools from ineffective schools: First, strong leadership at the school level; second, high expectations that no child will fall below minimum levels of achievement; third, an orderly school atmosphere conducive to learning and teaching; fourth, students' acquisition of basic and higher order skills taking precedence over all other school activity; and fifth, frequent and consistent evaluation of student progress.

The research into what makes a school an effective institution primarily began in the inner cities of this Nation among the children of the poor. An early pioneer in this endeavor was George Weber, who, in his 1971 study, examined four inner city schools in which achievement in reading was clearly successful for poor children. Weber found that all four schools evidenced: strong leadership by the school principal; high expectations for all students; an orderly school climate; strong emphasis on pupil acquisition of reading skills; and frequent evaluation of student progress.

Another giant in the effective schools movement was education research-reformer Ronald Edmonds. Dr. Edmonds disagreed with highly respected academicians who postulated that in a child's education, family background was a more important teacher than a child's school experience, and that therefore "schools don't make a difference." At Harvard University, at Michigan State University, and as a New York City school administrator, Edmonds put his research to practical application and concluded that schools can make a difference when schools control the quality of those things they do best: leadership, expectations, and school climate. Edmonds noted that in research on pupil performance, in which he participated in the 20 elementary schools in Detroit's Model Cities neighborhood—in 1974—that "pupil family background neither causes nor precludes elementary school instructional effectiveness."

The new thinking advanced by Edmonds and his colleagues challenged the accepted view in the early seventies that "schools don't make a difference" because family background and social class are more effective teachers than any classroom experience. Edmonds' view was that a school's control of program and program quality could make the difference in a child's school achievement regardless of family background.

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Effective schools research is now showing that there are many things teachers, principals and schools do control which can serve as the means to improve student achievement, student behavior, and teaching and learning practices. The underlying assumption in effective schools programs is: that all children are educable; that their education derives primarily from the nature of the schools to which they are sent, as contrasted with the nature of the family or neighborhood from which they come; and that children who start out not doing well in school get further behind the longer they go to school.

The effective schools objective is to stop the continuous movement of children who are not prepared to do academic work and to require that students demonstrate minimum academic mastery at each of the levels of schooling, so that they will be successful at the next level.

Currently, there is insufficient evidence concerning the exact number of school districts with effective schools programs in place. Testimony before the Subcommittee indicated that according to a 1985 National Institute of Education report, 7,500 schools in 1,750 school districts had effective schools. The actual total may be much higher because many schools have informally adopted effective schools policies and because many more programs have been started in the past year. The Committee is also aware that some 15 to 25 States have implemented effective schools programs. Approximately two-thirds of the programs occur in elementary schools. The programs tend to be located in large and moderate-sized cities, less in the suburbs, but fairly well distributed in rural areas.

To date, an impressive number of statewide effective schools programs, and local school district effective schools programs are experiencing reasonable to outstanding progress.

The Connecticut State Department of Education, and the San Diego (California) County Office of Education have developed quite effective technical assistance programs for schools and school districts that voluntarily commit themselves to participate in an effective schools effort.

A number of the Nation's local school districts have introduced effective schools programs within certain schools in their districts, and they have noted some respectable gains:

1. Rising to Individual Scholastic Execellence [RISE] in Milwaukee, Wisconsin:

> Direct evidence indicating improvement in achievement is available in the form of standardized test scores showing that the percentage of RISE third graders in the lowest reading performance category (bottom three stanines) decreased from 36 percent in 1981 to 32 percent in 1982, compared with a decrease from 23 percent to 22 percent for the MPS as a whole. Similarly, small reductions in the percentage of RISE students in the lowest performance category also were recorded in fifth and seventh grade reading and fifth grade mathematics. At the fifth grade level, the average percentage of students in the lowest reading performance category was 40 percent in 1982 as compared with 55 percent in 1979; the comparable figures

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for fifth grade math were 42 percent in 1979 and 21 percent in 1982.

2. Effective School Project [ESP] in Chicago, Illinois:

> Regarding academic achievement, data analysis indicates that eight-year-olds at ESP schools gained seven months in reading in 1981–82, compared with five months in 1980–81, and thirteen-year-olds gained 11 months in 1981–82 compared with seven months in 1980–81. Citywide, reading scores of eight-year-olds remained the same between 1981 and 1982, the scores of eleven- and thirteen-year-olds improved by 1 and 3 months, respectively; thus gains at ESP schools were greater than for the entire city. Gains of nine and eleven months among eleven- and thirteen-year-olds, respectively, were particularly encouraging in view of the fact that ESP schools have had low-achieving students in preceding years.

3. Project SHAL in St. Louis, Missouri:

> The SHAL schools have scored impressive gains in moving pupils from low to high quartiles in reading and math. Even though the SHAL schools started behind the City and Area I schools in every category, the SHAL schools have met or surpassed the City and Area I schools. I n eight comparisons of gains over time, SHAL was higher on six, even on one, and lower on only one when compared to both City and Area I schools.

4. School Improvement Project [SIP] in New York City, NY:

> Among seven public schools which implemented improvement plans in 1980–81, there was an average increase of 16 percentage points between spring of 1979 and spring 1982 in the percent of students reading at or above grade level, compared with an average gain citywide of four percentage points. Among nine public schools which joined the project in 1980–81 and implemented plans in 1981–82, there was an average gain of 11 percentage points between the spring of 1980 and the spring of 1982.

An equally innovative effective schools, technical assistance effort, is a program called School Effectiveness Training (SET) project, operated at the elementary, middle and high school grade level, jointly by the New Jersey Education Association and the Research For Better Schools Educational Laboratory (Philadelphia, Pa.). They note that:

> Areas that have improved since the program was initiated are school morale and behavior, teacher attendance, assertive championing of students, acquisition of resources, safety and security, discipline, community relations, and parental involvement. Comparative data are not yet available to describe student achievement performance. However, teachers have observed improvement in classroom performance.

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It should be noted, too, that effective schools programs need not be expensive to implement. Often, it is a matter of putting to better use the resources that already exist within the school building. A modest amount of new money can support the assessments, training, and other activities needed to make key changes within the school building. As Dr. Luther Seabrook, Superintendent of New York City Community School District #5, testified before the Subcommittee, "Rarely is the price tag so small for an opportunity so large."

There is no doubt that more study and research is needed to determine the dynamics of program implementation and impact within the school and in the classroom. However, several points are clear from the aforementioned overview of existing research:

(1) The effective schools research findings are more than theory; a number of States, school districts, and schools have found these principles worthy of replication and have implemented them in actual school settings.

(2) Where these programs are being implemented, they are generally resulting in improved student academic achievement and other positive outcomes.

(3) The programs do not necessarily involve a large amount of new funding.

(4) The effective schools techniques hold great promise for improving education in many other areas where they have not been tried. This is true for secondary school improvement as well as for elementary schools.

With several States and thousands of school districts that have not yet tried these programs, effective schools efforts could expand appreciably over the next few years. Frequently, the concepts have remained untried because school officials are unfamiliar with the programs or the evidence, because the leadership needed to initiate programs is lacking, or because school districts do not have the technical expertise or start up funding.

What better role then, than for the Federal Government to encourage the adoption of effective schools programs in schools throughout the nation which see the need for this kind of program effort?

Such a Federal role would be consistent with the Federal role recommended by the National Commission on Excellence in Education's report, *A Nation at Risk*. The report states that the Federal Government should be "supporting curriculum improvement and research on teaching, learning, and the management of schools; supporting teacher training in areas of critical shortage or key national needs."

More emphatically, the Commission report stated that:

> The Federal Government has the primary responsibility to identify the national interest in education. It should also help fund and support efforts to protect and promote that interest. It must provide the national leadership to ensure that the Nation's public and private resources are marshalled to address the issues discussed in this report.

Similarly, the newly-released report of the Department of Education, *What Works*, included an entire section on effective schools.

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"The most important characteristic of effective schools are strong instructional leadership, a safe and orderly climate, school-wide emphasis on basic skills, high teacher expectations for student achievement, and continuous assessment of pupil progress."

Congress can provide the leadership to encourage this type of educational reform on a national level. A Federal program, implemented in a coordinated way through the States, can provide the funding, the technical assistance, and the national attention needed to make effective schools programs available to all schools that could benefit from them. A modest amount of Federal seed money could go a long way in promoting a national effective schools effort.

Even Start

A recent study conducted by the Census Bureau found that 13% of the adults living in the United States are illiterate. The author of the study described this as a conservative estimate. Certainly the fact that between 20 and 50 million Americans lack the basic skills to function in our society makes illiteracy a major national problem.

In a series of joint House-Senate hearings on the topic of illiteracy, we have heard experts detail the economic, military, social, and personal costs of this problem. The fact that there are already this number of illiterate adults, and that each year at least one million Americans join their ranks, indicates that any successful solution must include both a treatment and prevention approach.

Two recent publications by the Department of Education, *A Nation of Readers* and *What Works*, summarize a body of research on the importance of the early learning that occurs in the home for the later development of literacy skills. Unfortunately, for those millions of parents who can not themselves read and write, this is empty advice.

Even Start directly addresses this problem by combining adult education for parents with early childhood education for their children into a single program. Parents will not only be instructed in basic skills themselves, but in addition, will be assisted in becoming part of their own children's education. Only through programs such as this will we break the cycle of illiteracy. It is hoped that these demonstrations will lead to the implementation of programs of this type on a national scale.

LEGISLATIVE CONSIDERATION

H.R. 4463 was introduced on March 20, 1986 by Chairman Hawkins, Congressman Goodling and several other cosponsors. This bill combined two bills that had been previously introduced separately, H.R. 747, the Effective Schools Development in Education Act, and H.R. 2535, the Even Start Act, into a single bill with no additional Federal costs. The Subcommittee on Elementary, Secondary, and Vocational Education held a hearing on H.R. 4463 on April 17, 1986. Prior to that, hearings had been held on the separate bills: a hearing on H.R. 2535 on November 20, 1985, and a hearing on H.R. 747 on March 4, 1986. In addition, findings from the Subcommittee's oversight hearings on illiteracy, held jointly with the Senate

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Subcommittee on Education, Arts, and Humanities on August 1, October 1, and October 3, 1985, contributed to the Subcommittee's consideration of this bill.

The Subcommittee on Elementary, Secondary, and Vocational Education held a mark-up on H.R. 4463 on May 13, 1986, at which time the legislation was ordered reported by unanimous voice vote. The full Committee on Education and Labor met on June 11 and ordered the bill reported, with amendments, by unanimous voice vote.

EXPLANATION OF THE BILL

The specific provisions of H.R. 4463 are described in detail in the section-by-section analysis. However, certain points merit highlighting.

Effective schools

1. Funding mechanism

H.R. 4463 targets a portion of the funds each State receives under Chapter 2 of the Education Consolidation and Improvement Act to be used to implement effective schools programs. Chapter 2 is the elementary and secondary education block grant that was enacted in 1981 by consolidating several formerly categorical programs. Chapter 2 funds may be used for a variety of broad, instructional purposes. Under current law, each State is permitted to retain up to 20% of its Chapter 2 grant for State activities. The remaining 80% must be passed through to local educational agencies, which have discretion over its use. For fiscal year 1986, Chapter 2 is funded at $506 million, with $478.5 million distributed as grants to States and the remainder retained at the Federal level for national programs.

According to a summary of State reports prepared by the Department of Education, States use the State Chapter 2 set-aside for a variety of purposes, including administration of the program itself, technical assistance to LEAs, professional development and curriculum development, basic State management functions, supporting State school improvement programs, and many others.

In order to examine more closely the State uses of State Chapter 2 funds, Chairman Hawkins, Congressman Goodling, and Congressman Obey had requested the General Accounting Office to examine the question of what proportion of State Chapter 2 funds was being used to support State educational agency administrative functions. The GAO investigators have preliminarily indicated that they were unable to estimate the amount used for administration due to the absence of standardized definitions of administration and the lack of consistent ways of reporting this information among States. However, GAO has noted that the block grant is used to fund salaries of some State education employees and a variety of State activities related to State programs and functions.

These findings raise a question about the appropriateness, in a time of fiscal restraint, of providing unrestricted dollars to States to use for State priorities and functions. Related to these concerns, some Congressional discussion has focused on the possibility of restricting the amount of Chapter 2 funds States could retain and in-

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creasing the amount passed through to local educational agencies. The Committee, however, has decided to take a different approach and instead, through H.R. 4463, provide States with more guidance on Federal priorities for use of State Chapter 2 funds, while continuing State administrative control of those funds.

Consequently, H.R. 4463 requires each State to use one/half of the State portion of its Chapter 2 grant—which comes to 10% of the total State grant—for effective schools programs. Nationally, this means that if the funding for Chapter 2 remains about the same, approximately $48 million in Federal funds will be targeted on effective schools programs. The remainder of the State portion of Chapter 2—again, about $48 million—would continue to be available for State-determined activities.

In administering the effective schools program, States will continue to have a great deal of flexibility and authority about how to use the funds. Funds could be used by the State for State-wide, State-operated activities, or for grants to and contracts with LEAs, institutions of higher education, private nonprofit organizations, or intermediate school districts. Each State will make its own determination of the appropriate mix.

2. Credit provision

The bill acknowledges the reality that some States already have effective schools programs, funded from other sources. Section 3(b)(2) of the bill allows States to receive "credit" for expenditures for effective schools programs from other Federal and State sources (excluding local sources). Specifically, the requirement to spend Chapter 2 funds for effective schools may be reduced by the amount a State spent on effective schools programs in the most recent school year for which data is available. Where States are unable to differentiate between State and local funding as to the actual amount expended for effective schools, States will be able to pro-rate the supplemental costs of implementing effective schools (above and beyond the regular cost of education in that LEA); this pro-rating would be based upon the general State share of educational costs within that LEA.

The Committee adopted this amendment in recognition of the fact that many States have developed excellent effective schools programs without Federal encouragement. In fact, many States have been at the forefront of the effective schools movement by proving that these research findings could be applied in an actual classroom setting, by experimenting with the best means to implement these programs, and by demonstrating how schools can be encouraged to adopt them.

In determining the types of State expenditures to be counted for credit, the Committee recommends the following guidelines. First, the expenditures must be related to an effective schools program that meets the definition in section 7(5) of the bill. This means that the expenditure must be made as part of a coordinated program that addresses, at a minimum, the five effective schools factors included in the definition. Second, when considered together with other resources, the expenditure must be or have been a component in a unified effective schools program, recognizable as such within an individual school building, except that in cases where a

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new program within a school building is being started up, a gradual phase-in of all five factors is allowable as long as all five factors are built into the goals of the program from the start and as long as the plan calls for a total unified effective schools program by its completion. This concept of changing the "climate" of an individual school so that it is conducive to teaching and learning lies at the heart of the effective schools research. Third, the effective schools program should be a primary focus of the expenditure, rather than an incidental outcome of another state purpose, such as general State educational reform, except that if an effective schools program is a recognizable part of the educational reform package at the local level, then it is an allowable expenditure for purposes of seeking State credit.

In order to receive the credit in Section 3(b)(2), States will have to submit to the Secretary a statement which includes the amounts expended for effective schools broken down by source, the specific sources of the funds, the activities conducted and their relationship to the effective schools factors as defined in the bill, the number of students affected by these activities, and the schools and school districts for which such activities were provided.

As noted above, the funds counted toward this credit are those expended during the most recent school year for which satisfactory data are available. The Committee was hesitant to prescribe a particular fiscal year, not knowing when in the fiscal year the Secretary will require this expenditure information to be submitted. However, the Committee intends that once a State selects a school year to be used as a base year for this provision, credits in future years should be based upon school years that consecutively follow the one used for the initial credit, to the extent that the data is available in a timely fashion.

3. Authorized activities

The bill lists the activities for which States may use the funds reserved by this bill. These include: (1) planning for effective schools programs and reviewing these programs; (2) implementing and supporting effective schools through training, workshops, parental involvement mechanisms, demonstration programs, and other activities; (3) obtaining technical assistance and other services from regional labs and centers and other institutions; (4) designing, developing, and publishing educational materials on effective schools; (5) developing and implementing systems to collect, analyze, interpret, and make available effective schools data; (6) promoting awareness of effective schools information, such as through conferences and site visits; (7) conducting evaluations of effective schools programs, including the one mandated in section 5; (8) planning and conducting professional development activities; (9) planning and conducting training in student assessment and evaluation; and (1) identifying, documenting, and disseminating information about effective schools.

The Committee notes that each of the authorized activities listed in the bill incorporates the term "effective schools programs." This is intended to link each activity to the factors and outcomes included in the statutory definition of that term. This definition is the

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core of the legislation. The activities listed are the means to accomplish the ends described in the definition.

As noted in the previous section, these activities may be carried out directly by the States or by LEAs and other eligible institutions and agencies. Research and practice have shown that effective schools programs are most successful in those locations where school staff are committed to changing the way their schools operate. This commitment takes the form of a change in attitude, behavior, and distribution of resources on the part of administrators, teachers, and students. While effective schools do not ordinarily require large amounts of new spending, there are costs associated with training, testing, and other parts of the program. Local educational agencies which implement effective schools programs as a result of this legislation are encouraged to consider using their local Chapter 2 allocations as one source of funding to meet such costs.

Use of Chapter 2 funds in this way would serve two important functions. First, it would complement the State Chapter 2 money being expended for this purpose, and allow these limited funds to go further in establishing programs throughout the State. Secondly, the local decision-making process that would lead to the use of local Chapter 2 funds on an effective schools program would be the expression of commitment found to be essential for the success of such a program at the school district and school building level.

As regards the authorized planning activities, the Committee notes that many schools which have implemented effective schools programs have used planning committees at the individual school building level. They have found it useful to have interdisciplinary representation on the committee, including administrators, teachers, and related support staff (including social workers, counselors, or psychologists), as well as parents. The Committee considers such multidisciplinary input to be useful throughout the effective schools planning process, whether at the State, local, or building level.

4. Applications

Section 5 of the bill requires SEAs to amend their Chapter 2 applications to reflect the activities and programs to be conducted with the funds reserved for effective schools programs. In addition, each SEA must enter into a program agreement with the Secretary. The program agreement must: (1) describe the methods by which funds will be used to carry out the effective schools programs, as defined in the bill; (2) provide for an independent annual evaluation of programs, the results of which are to be made available to the Secretary; (3) demonstrate how funds will be used to improve schools in districts with the greatest number or percentages of educationally deprived children; (4) describe the methods by which the applicant will involve parents in establishing goals for, and in planning, implementing, and evaluating these programs, and (5) contain such information and assurances as the Secretary may require.

To the extent possible, the program agreement period should coincide with the duration of the Chapter 2 application, and may be amended annually to reflect changes.

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In carrying out the mandatory independent evaluation, the SEA may use evaluators that are completely independent of the State government, or may use evaluators that are part of another State agency, but not affiliated with the SEA.

In using funds to improve schools in LEAs with the greatest number or percentages of educationally deprived children, the SEA may wish to consider focusing all or most of the effective schools funds on those LEAs with the highest concentrations of such children. To give an example of how this provision could operate, a State could focus funds on the top 25% of LEAs ranked in order of numbers or percentages of educationally deprived children as in the Chapter 1, ECIA, program. Within participating LEAs, funding might be focused on schools which are below State assessment devices.

In implementing the parental involvement requirement, the SEA could give consideration to methods such as setting up parents meetings to explain the effective schools program, providing for timely responses to parents' questions, recommendations and grievances, offering parent training, allowing parents to view program operations, having parents sit on effective schools planning committees, and other means of involving parents in all phases of program development and implementation.

5. Miscellaneous provisions

H.R. 4463 requires the Secretary to analyze the State evaluation reports and submit a report to Congress by September 30, 1989, containing evaluation results and recommendations. The Secretary is also required to report biennially to Congress on recent developments in effective schools research. This latter report should be based on a review of effective schools research, including that conducted by the OERI centers.

H.R. 4463 also states that Section 591 of Chapter 3 of ECIA applies to the effective schools program authorized by this bill. That section limits the authority of the Secretary to prescribe regulations to those areas related to discharging Secretarial duties, fiscal accounting and funds distribution, and to other areas necessary to reasonably insure that there is compliance with the specific requirements and assurances of this program. The section also requires State-imposed requirements to be identified as such. The Committee highlighted this provision to ensure that regulations for this program would not be overly burdensome or prescriptive. This section of the bill is an attempt, therefore, to clarify the applicability of Section 591. Funds made available from Chapter 2 for the effective schools programs would continue to also be subject to the provisions of Chapter 3 of ECIA that apply to Chapter 2.

The effective schools provisions will apply to Chapter 2 allotments made after the date of enactment of this Act. The bill includes this provision in order to avoid disruption of funds that have already been allocated to the States.

Even Start

It is the purpose of the Even Start program to successfully combine adult basic education for parents and school readiness training for children into a single educational program. This is to be ac-

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complished through the funding of a number of demonstration projects.

Funding for Even Start will come from $2 million of the amount available each year for Chapter 2 of the Education Consolidation and Improvement Act of 1981, and $1 million of the amount appropriated each fiscal year pursuant to the Adult Education Act after enactment of this Act. Funding for the Even Start program will extend for four years.

The allowable uses of funds are clearly outlined in the legislation. However, because of the small amount of funding available, applicants are encouraged to concentrate funding on the actual delivery of educational services to participants. While support services, such as child care and transportation, are important components of programs such as Even Start, there are other resources available in some communities that could be used in conjunction with an Even Start project. This type of cooperation is encouraged.

In applying for a grant under the Even Start portion of this legislation (section 4), an eligible applicant must demonstrate that it has the qualified personnel to successfully carry out the proposed plan of operation [section 4(d)(2)(A)]. These qualified personnel should at least include persons experienced and competent in providing adult education services, early childhood education, parent-child learning experiences, and other social service personnel (such as social workers, counselors, and psychologists) who may be necessary to allow participants to benefit from the educational program being offered.

The Committee strongly urges applicants to plan their programs in coordination with other programs in the area that provide related services. These would include Chapter 1, adult education centers, Head Start, and especially volunteer literacy organizations which have a great deal of success in developing innovative literacy projects. The committee exports that the selection committee established by this legislation will take the level of planned cooperation into serious consideration when making funding decisions.

Two provisions in the act are aimed at targeting the Even Start grants at areas that serve low income parents and children. First, an eligible parent must reside in an area grant designated for receipt of Chapter 1 funds. Second, eligible grant recipients must serve an area which has an especially high concentration of children from low-income families. The applicant must also demonstrate how it will meet the needs of special populations, such as individuals with limited English proficiencies and handicapped individuals.

The Secretary will select between 15 and 20 applicants for final review with one-third from rural areas and two-thirds from urban areas. The Secretary is also directed to appoint a review panel which is directed to make the final choices of grant recipients. These panel members should represent those persons most experienced and knowledgable within their category as specified in the legislation. Recipients should be chosen on their merit and probability of demonstrating successful approaches to solving illiteracy within the guidelines set out in this legislation.

With a relatively small demonstration program like Even Start, it is critical that the funded projects are documented and evaluated

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and these results disseminated to the widest possible degree. Towards this end, Even Start has a strong evaluation and dissemination section built into it. The Committee expects that the grant recipients, outside evaluators, and Department of Education will take whatever steps necessary to insure that these requirements are met.

OVERSIGHT

No findings or recommendations concerning oversight of the programs amended in this bill have been received by the Committee from the Committee on Government Operations. The provisions of H.R. 4463 are based upon findings from the Committee's ongoing oversight of existing programs.

COST ESTIMATE AND INFLATIONARY IMPACT

The Congressional Budget Office has estimated that there will be no additional costs to the Federal government in implementing this legislation. The Committee concurs in these estimates and adopts them in compliance with Clause 7 of Rule XIII. No cost estimates have been received from any other Federal departments or agencies.

The CBO letter follows:

U.S. CONGRESS,
CONGRESSIONAL BUDGET OFFICE,
Washington, DC, June 13, 1986.

Hon. AUGUSTUS F. HAWKINS,
Chairman, Committee on Education and Labor, House of Representatives, Washington, DC.

DEAR MR. CHAIRMAN: The Congressional Budget Office has examined the federal cost impact of H.R. 4463, the Effective Schools and Even Start Act, as ordered reported by the House Committee on Education and Labor on June 11, 1986. This bill would establish two new programs: (1) the Effective Schools Program to help educational agencies to achieve overall school improvement and (2) the Even Start Program to provide parents with the skills to enhance their children's education.

This bill would authorize no additional federal funding. Instead, a portion of grant funds to states would be earmarked for the new programs. For the Effective Schools Program, states would, for each fiscal year, be required to spend 10% of their grant funding under Chapter 2 of the Education Consolidation and Improvement Act of 1981 (ECIA). This amount may be reduced by the amount the state spent on effective schools programs from other sources during the most recent school year for which data exists. For the Even Start Program, the Secretary of Education would, for four fiscal years, reserve for demonstration grants $2 million from the amount appropriated for state grants under Chapter 2 of ECIA and $1 million from the amount appropriated for grants under the Adult Education Act.

Passage of this bill would affect the budgets of state and local governments. For the Effective Schools Program, states would be required to channel as much as 10% of their ECIA Chapter 2 fund-

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ing into the operation of such a program. For 1986, a total of $500 million was appropriated to states under Chapter 2, reduced to $478.5 million under the Balanced Budget Act. Under this bill, states would have been required to set aside a total of $48 million for Effective Schools Programs, less any amount spent on such programs from other sources in the most recent year for which data exists. To the extent that this requirement would result in reduced funding for other Chapter 2 programs, states might have to compensate by increasing funding levels from other sources in order to maintain the current level of services in those programs.

For the Even Start Program, grants to states under ECIA Chapter 2 and the Adult Education Act would be reduced by $3 million in each of four fiscal years. For 1986, a total of $102 million was appropriated to states under the Adult Education Act, reduced to $97.6 million under the Balanced Budget Act. The total grant amount available to states for 1986 under the Adult Education Act and ECIA Chapter 2 is therefore $576.1 million. Under this bill, $3 million of that amount, or one-half of one percent, would have been reserved by the Secretary for the Even Start Program.

Please call me if you have any questions or have your staff contact Ken Pott.

With best wishes,

Sincerely,

RUDOLPH G. PENNER.

The Committee finds that since the bill involves no additional Federal costs, it has no inflationary impact.

CHANGES IN EXISTING LAW

H.R. 4463 makes no changes in existing law.

SECTION-BY-SECTION ANALYSIS

Section 1—Title

The short title of this Act is the Effective Schools and Even Start Act.

Section 2—Findings

The Congress finds that successful education depends on effective learning at home and effective teaching in school. The Congress emphasizes the need to build upon those techniques which research has shown to enhance parental involvement in preparing children for school and to improve the effectiveness of teaching and learning once children are in school.

Section 3—Effective Schools Program

This section authorizes the effective schools program to assist State and local educational agencies in improving student achievement, student behavior, teaching, learning, and school management.

Under this program, each State receiving funds under Chapter 2 of the Education Consolidation and Improvement Act (the education block grant), will be required to use half of the State portion of

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its Chapter 2 grant (or 10% of the total State grant) to carry out the effective schools program. This required spending may be reduced by the amount the State spent on effective schools programs from other funding sources in the most recent school year for which data is available.

Effective schools programs may be carried out directly by the State educational agency or by grants and contracts with local educational agencies, institutions of higher education, private nonprofit organizations, and intermediate school districts. Funds may be used for authorized activities listed in this section as part of a comprehensive effective schools program meeting the definition in the Act. Allowable activities include planning, implementing and supporting effective schools programs; obtaining technical assistance; producing educational materials and collecting data; staff training and professional development; and evaluation—all as part of an overall effective schools program.

The Act requires the Secretary of Education to provide technical assistance and information on effective schools programs to the States.

Section 4—Even Start Program

This section authorizes pilot programs to demonstrate the even start approach, combining adult literacy training for parents and school readiness training for children into a single educational program. These programs would provide parents with basic skills as well as skills they need to help enhance their children's educational development.

In order to fund these demonstration grants, the Secretary of Education would retain $2 million annually off the top of the appropriation for Chapter 2 and $1 million off the top of the Adult Education Act. The program would be authorized for four fiscal years.

This section lists all the components which must be encompassed in an even start program, including: identification, recruitment, screening, and preparation of eligible participants; designing programs and providing support services to suit participants' work and other responsibilities; establishing instructional programs to promote adult literacy and child school readiness; providing integrated services through home-based programs; and coordination with Chapter 1, Adult Education, Head Start and other relevant programs.

Parents and their children aged 3 to 7 would be eligible to participate in the programs if they come from a family that includes a parent eligible for adult basic education and resides in a Chapter 1 (low-income) school attendance area. Agencies, organizations, and institutions that operate programs under the Adult Education Act and service areas with high concentrations of children from low-income families would be eligible for even start grants.

Prospective grantees would have to submit an application describing the program, activities, and services to be provided; demonstrating the qualifications of the personnel to be involved; stating the methods to be used to ensure that the program will serve participants most in need and to serve special populations; and de-

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scribing how the program will be coordinated with related programs.

The Secretary of Education will select 15 to 20 applications for final review (two-thirds from urban areas and one-third from rural areas). A diverse panel composed of experts as listed in this section will conduct the final review and select the grantees.

Section 5—Applications and agreements

Effective schools: State educational agencies are required to enter in a program agreement with the Secretary of Education delineating the terms for the effective schools programs. The program agreement must describe now the effective schools program will be implemented in that State; provide for an independent annual evaluation; demonstrate how funds will be used to improve schools with the most educationally deprived children; and describe how parents will be involved in the effective schools programs. The time period for such agreements will coincide with the State's Chapter 2 application.

States wishing to receive credit for previous effective schools expenditures from other sources will have to submit a statement of the amount of such funds expended, the sources, the activities conducted, the schools and school districts involved, and the numbers of students affected.

Even start: Applicants selected for grants shall enter into a program agreement with the Secretary containing information necessary for compliance and assuring that the grantee will pay not less than 20% of the cost of the project from non-Federal sources (with no more than half of such non-Federal share being provided in kind).

Section 6—Evaluation and dissemination

Effective schools: The Secretary is required to analyze the effective schools program on the basis of the manadated State evaluations and report to the Congress on the findings. The Secretary is also required to report to Congress on recent developments in effective schools research.

Even start: The Secretary is required to annually evaluate the even start programs to determine their effectiveness in providing adult education services, parent training, services of special populations, home-based programs, coordination with related programs, and training of personnel. These evaluations are to be conducted by independent evaluators and should include comparisons with control groups. The results shall be submitted to the National Diffusion Network for possible dissemination.

Section 7—Restriction on regulations

Section 591 of ECIA, describing limitations on the Secretary's authority to issue regulations, shall apply to the effective schools programs authorized by this Act.

Section 8—Definitions

The Act contains standard definitions contained in education legislation and also contains a special definition of "Effective schools programs." These programs are defined as having the objectives of

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promoting school-level planning, instructional improvement, and staff development; increasing the academic achievement of educationally deprived children through early childhood education and the use of the factors identified by effective schools research; and achieving those factors as ongoing conditions in the school. The definition also specifies the factors identified by effective schools research as distinguishing effective from ineffective schools: strong and effective administrative and instructional leadership; emphasis on the acquisition of basic and higher-order skills; a safe and orderly school environment; a climate of expectations that all children can learn; and continuous assessment of students and programs to evaluate the effects of instruction.

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